

Commodity Futures Trading Commission

§ 8.01

paragraph (b) of this section, a corrective notice shall be filed within five business days of the date such proposed transfer was to occur explaining why the proposed transfer was not completed.

§ 5.24 Applicability of other parts of this chapter

Insofar as it is consistent with the requirements of this part, all other provisions of this chapter that apply to a person shall apply to such person as though such provisions were expressly set forth in this part.

§ 5.25 Applicability of the Act.

Except as otherwise specified in this part and unless the context otherwise requires, the provisions of Sections 4b, 4c(b), 4f, 4g, 4k, 4m, 4n, 4o, 6(c)–(e), 6b, 6c, 8(a)–(e), 8a and 12(f) of the Act shall apply to retail forex transactions that are subject to the requirements of this part as though such provisions were set forth herein and included specific references to retail forex transactions and the persons defined in § 5.1 of this part.

PART 7—CONTRACT MARKET RULES ALTERED OR SUPPLEMENTED BY THE COMMISSION

Subpart A—General Provisions

Sec.

7.1 Scope of rules.

Subpart B [Reserved]

7.100–7.101 [Reserved]

Subpart C—Board of Trade of the City of Chicago Rules

7.200–7.201 [Reserved]

AUTHORITY: 7 U.S.C. 7(a) and 12a(7).

SOURCE: 45 FR 51526, Aug. 1, 1980, unless otherwise noted.

Subpart A—General Provisions

§ 7.1 Scope of rules.

This part sets forth contract market rules altered or supplemented by the Commission pursuant to section 8a(7) of the Act.

Subpart B [Reserved]

§§ 7.100–7.101 [Reserved]

Subpart C—Board of Trade of the City of Chicago Rules

§ 7.200–7.201 [Reserved]

PART 8—EXCHANGE PROCEDURES FOR DISCIPLINARY, SUMMARY, AND MEMBERSHIP DENIAL ACTIONS

Subpart A—General Provisions

Sec.

8.01 Scope of rules.

8.02 Implementing exchange rules.

8.03 Definitions.

Subpart B—Disciplinary Procedure

8.05 Enforcement staff.

8.06 Investigations.

8.07 Investigation reports.

8.08 Disciplinary committee.

8.09 Review of investigation report.

8.10 Predetermined penalties.

8.11 Notice of charges.

8.12 Right to representation.

8.13 Answer to charges.

8.14 Admission or failure to deny charges.

8.15 Denial of charges and right to hearing.

8.16 Settlement offers.

8.17 Hearing.

8.18 Decision.

8.19 Appeal.

8.20 Final decision.

Subpart C—Summary Actions

8.25 Member responsibility actions.

8.26 Procedure for member responsibility actions.

8.27 Violations of rules regarding decorum, submission of records or other similar activities.

8.28 Final decision.

AUTHORITY: 7 U.S.C. 6c, 7a, 12a and 12c, unless otherwise noted.

SOURCE: 43 FR 41950, Sept. 19, 1978, unless otherwise noted.

Subpart A—General Provisions

§ 8.01 Scope of rules.

This part sets forth the standards to be followed by an exchange in establishing procedures for investigating and adjudicating possible rule violations within the disciplinary jurisdiction of the exchange, for taking summary action in member responsibility